

DIVISION OF MANAGEMENT & BUDGET SERVICES

New York State Department of Environmental Conservation

625 Broadway, 10th Floor, Albany, New York 12233-5010

Phone: (518) 402-9228 • Fax: (518) 402-9023

www.dec.ny.gov

NEW YORK STATE CLEAN WATER STATE REVOLVING FUND FEDERAL FISCAL YEAR 2019 CAPITALIZATION GRANT ATTACHMENTS

The following attachments to the electronically submitted Capitalization Grant application forms are contained in this PDF:

- Additional Key Contacts
- EFC CWSRF FFY 2019 Estimated Administration Budget
- DEC CWSRF FFY 2019 Anticipated Personnel Budget
- Source of State Match
- Certification of Distribution of Application Review Package and Evidence of Compliance with Intergovernmental Review (State Agency Notice of Prospective Application for Federal Aid)

New York State Department of Environmental Conservation transmitted the SF-424b, Certification Regarding Lobbying, and 4700-4 Preaward Compliance form in a 'bundle' via letter dated September 5, 2018.

The following documents will be submitted under separate cover

- Final FFY 2019 Intended Use Plan (IUP)
- Attorney General's Certification
- MBE/WBE Utilization under Federal Grants, etc. (EPA form 5700-52A) – Submitted under separate cover quarterly as required



ADDITIONAL KEY CONTACTS

(Use as many sheets as needed.)

Major Co-Investigators: *Individual responsible for the completion of major portions of the proposed work.*

Name: _____

Title: _____

Mailing Address: _____

Phone Number: _____

FAX Number: _____

E-Mail Address: _____

Web URL: _____

Major Co-Investigators: *Individual responsible for the completion of major portions of the proposed work.*

Name: _____

Title: _____

Mailing Address: _____

Phone Number: _____

FAX Number: _____

E-Mail Address: _____

Web URL: _____

Major Co-Investigators: *Individual responsible for the completion of major portions of the proposed work.*

Name: _____

Title: _____

Mailing Address: _____

Phone Number: _____

FAX Number: _____

E-Mail Address: _____

Web URL: _____

**CLEAN WATER STATE REVOLVING FUND PROGRAM
FFY 2019 ESTIMATED ADMINISTRATION BUDGET**

CWSRF Loan Program	
Total Net Position as of 3/31/18	.1%

5,197,239,892	5,197,000
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FFY 2018 Projected Expenses Category		Total Eligible Administration
Personal Service		7,005,000
Fringe Benefits (43.52%)		3,049,000
Supplies & Materials		26,300
Travel		20,600
Equipment Purchase & Maintenance		155,400
Contractual		
Consultants	914,100	
Miscellaneous Contractual	29,000	943,100
Other		
Postage	9,500	
Printing	5,200	
Training & Conferences	6,200	
Telephone	72,100	
Insurance	15,100	
Books & Journals	21,000	129,100
Total Direct Expenses		11,328,500
Indirect Costs (28.25%)		2,840,000
EFC Expenses		14,168,500
DEC Grant Draw Expenses		862,793
Total Expenses		15,031,293

Anticipated DEC CWSRF Personnel Budget for FFY 2019

9/5/2018

PROGRAM	TITLE	SALARY BASE	FRINGE BENEFITS	INDIRECT	TOTAL COST
				7.08%	
			62.48%	31.78%	
SRF- ADMINISTRATION	ENVIRNL PROGRAM SPEC 1	\$71,980.00	\$44,973.10	\$8,280.28	\$125,233.38
<hr/>					
TOTAL - SRF ADMINISTRATION		\$71,980.00	\$44,973.10	\$8,280.28	\$125,233.38
SRF - WATER					
	PROFESSIONAL ENGINEER 1 (ENVIRNL) 80%	\$77,958.40	\$48,708.41	\$40,254.71	\$166,921.52
	ASSISTANT ENGINEER (ENVIRNL) 90%	\$71,619.30	\$44,747.74	\$36,981.45	\$153,348.49
	PROFESSIONAL ENGINEER 1 (ENVIRNL)	\$97,444.68	\$60,883.44	\$50,316.68	\$208,644.80
	PROFESSIONAL ENGINEER 1 (ENVIRNL)	\$97,444.68	\$60,883.44	\$50,316.68	\$208,644.80
<hr/>					
TOTAL - SRF WATER		\$344,467.06	\$215,223.03	\$177,869.52	\$737,559.61
GRAND TOTAL		\$416,447.06	\$260,196.13	\$186,149.80	\$862,792.99

Indirect Rate for Staff assigned to EFC

7.08%

Indirect Rate for other DEC staff

31.78%

Fringe Rate

62.48%

SOURCE OF STATE MATCH

NEW YORK STATE CLEAN WATER CAPITAL BUDGET

SFY	AMOUNT APPROPRIATED	CUMULATIVE
89-90 through 02-03	\$462,613,000	
03-04	\$30,174,000	\$492,787,000
04-05	\$28,893,000	\$521,680,000
05-06	\$29,602,000	\$551,282,000
06-07	\$29,600,000	\$580,882,000
07-08	\$29,600,000	\$610,482,000
08-09	\$29,600,000	\$640,082,000
09-10	\$29,600,000	\$669,682,000
10-11	\$29,600,000	\$699,282,000
11-12	\$35,000,000	\$734,282,000
12-13	\$35,000,000	\$769,282,000
13-14	\$35,000,000	\$804,282,000
14-15	\$35,000,000	\$839,282,000
15-16	\$35,000,000	\$874,282,000
16-17	\$35,000,000	\$909,282,000
17-18	\$35,000,000	\$944,282,000
18-19	\$35,000,000	\$979,282,000
	\$979,282,000	

REQUIRED STATE MATCH (@ 20%)

FFY	FEDERAL GRANT	STATE MATCH
89-90 through 02-03	\$2,309,586,281	\$461,917,255
03-04	\$146,280,420	\$29,256,084
04-05	\$118,939,293	\$23,787,859
05-06	\$96,656,373	\$19,331,275
06-07	\$118,135,611	\$23,627,122
07-08	\$75,108,221	\$15,021,644
08-09	\$75,109,023	\$15,021,805
ARRA*	\$432,564,200	\$0
09-10	\$224,898,000	\$44,979,600
10-11	\$162,993,000	\$32,598,600
"no year" CG funds	\$64,244,506	\$12,848,901
11-12	\$157,205,222	\$31,441,044
12-13	\$147,369,000	\$29,473,800
13-14	\$154,748,000	\$30,949,600
14-15	\$153,965,000	\$30,793,000
Settlement Funds 2015	\$708,596	\$141,719
15-16	\$147,479,000	\$29,495,800
16-17	\$146,343,000	\$29,268,600
17-18	\$177,159,000	\$35,431,800
18-19	\$200,000,000	\$40,000,000
	\$5,109,491,746	\$935,385,508

SFY State fiscal year = April 1 to March 31

FFY Federal fiscal year = October 1 to September 30

*State match not required

INTERGOVERNMENTAL REVIEW LETTERS

Attached are the following:

- List of Intergovernmental Review contacts who were contacted regarding the 2019 CWSRF Capitalization Grant
- Sample letter from Michael Giovannone of NYSDEC dated **July 26, 2018**
- NYS Certification of Distribution of Application Review Package

Note that the comments/responses to the intergovernmental review process were directed to USEPA.

REVIEWING AGENCIES

The Application Review Package has been sent to the Reviewing Agencies checked below:

☒ United States Environmental Protection Agency Region II, Grants and Audit Management

AREAWIDE REVIEWING AGENCIES:

<input type="checkbox"/> ALBANY, RENNSLAER, SCHENECTADY, SARATOGA	<input checked="" type="checkbox"/> GENESSE, LIVINGTON, MONROE, ONTARIO, ORLEANS, SENECA, WAYNE, YATES, WYOMING	<input checked="" type="checkbox"/> ULSTER
<input checked="" type="checkbox"/> BROOME, CHENANGO, CORTLAND, DELAWARE, OTSEGO, SCHOHARIE, TIOGA, TOMPKINS	<input type="checkbox"/> JEFFERSON <div style="border: 1px solid black; padding: 2px; margin-top: 5px;"> August 2013 response requested no further solicitation </div>	<input checked="" type="checkbox"/> WESTCHESTER
<input checked="" type="checkbox"/> CHAUTAUQUA, CATTARAUGUS, ALLEGANY	<input checked="" type="checkbox"/> ORANGE	<input type="checkbox"/> ALL COUNTIES
<input checked="" type="checkbox"/> CHEMUNG, SCHUYLER, STEUBEN	<input checked="" type="checkbox"/> OSWEGO, ONONDAGA, MADISON, CAYUGA	<input type="checkbox"/> NO APPLICABLE COUNTIES REVIEWING AGENCIES
<input type="checkbox"/> ERIE, NIAGARA	<input type="checkbox"/> PUTNAM	
<input type="checkbox"/> FRANKLIN	<input type="checkbox"/> ROCKLAND	<div style="border: 1px solid black; padding: 2px; margin-top: 5px;"> August 2016 response requested no further solicitation </div>

The undersigned certifies that an Application Review Package consisting of the items checked below has been sent to the required Reviewing Agencies for review.

- (1) **FEDERAL FORM 424 (Box 16 must be completed)**
- (2) **PROJECT SUMMARY DESCRIBING PROPOSED ACTIVITIES**
- (3) **CERTIFICATION OF DISTRIBUTION OF APPLICATION REVIEW PACKAGE**
- (4) **SITE LOCATION MAP (For construction projects only)**
- (5) **PROJECT INFORMATION FORM (For construction projects only)**

This Application Review Package will not be processed unless this form is signed and dated below.



 Signature
 Director of Management and Budget

 Title

7/26/18

 Date signed

ADDRESSES

NY State Reviewing Agencies

ALBANY, RENSSELAER, SCHENECTADY, SARATOGA Waive right to review all proposed projects	BROOME, CHENANGO, CORTLAND, DELAWARE, OTSEGO, SCHOHARIE, TIOGA, TOMPKINS Mr. Erik Miller, Director Southern Tier East Planning Board 375 State Street Binghamton, NY 13901-2385 Tel. (607)724-1327 x212 Fax (607)724-1194 Email: ste@steny.org Director.steny@gmail.com *Will accept electronic project proposals
CHAUTAUQUA, CATTARAUGUS, ALLEGANY Ms. Halley A. Kottwitz Southern Tier West RPB 4039 Route 219, Suite 200 Salamanca, NY 14779-9625 Tel. (716) 945-5301 Fax (716) 945-5550 Email: hkottwitz@southerntierwest.org *Will accept electronic project proposals	CHEMUNG, SCHUYLER, STEUBEN Ms. Marcia Weber Southern Tier Central Regional Planning Bd. 8 Denison Parkway East, Suite 310 Corning, NY 14830 Tel. (607)962-5092 Fax (607)962-3400 Email: weber@stny.rr.com *Will accept electronic project proposals
COLUMBIA Waive right to review all proposed projects	DUTCHESS Waive right to review all proposed projects
ERIE, NIAGARA Waive right to review all proposed projects	FRANKLIN Waive right to review all proposed projects

<p>FULTON</p> <p>Waive right to review all proposed projects</p>	<p>GENESSE, LIVINGSTON, MONROE, ONTARIO, ORLEANS, SENECA, WAYNE, YATES, WYOMING</p> <p>David Zorn, Director Genesee/FingerLakes Regional Planning Cncl. City Place, 50 West Main Street, Suite 8107 Rochester, NY 14614 Tel. (585) 454-0190 Fax (585) 454-0191 *Will <u>not</u> accept electronic project proposals *Only reviewing proposals that are specific to Brownfields and Waste Water</p>
<p>GREENE</p> <p>Waive right to review all proposed projects</p>	<p>JEFFERSON</p> <p>Mr. Donald CanField Jefferson County Planning Dept. 175 Arsenal St. Watertown, NY 13601 Tel. (315)785-3144 Fax (315)785-5092 Email: donc@co.jefferson.ny.us *Will <u>not</u> accept electronic project proposals</p>
<p>LEWIS</p> <p>Waive right to review all proposed projects</p>	<p>MONTGOMERY</p> <p>Waive right to review all proposed projects</p>
<p>NASSAU</p> <p>Waive right to review all proposed projects</p>	<p>NEW YORK CITY and NEW YORK STATE DEPARTMENT OF ENVIRONMENTAL CONSERVATION</p> <p>Waive right to review all proposed projects</p>
<p>ORANGE</p> <p>Mr. David Church Orange County Planning Dept. 124 Main St. Goshen, NY 10924 Tel. (845) 615-3840 Fax (845) 291-2533 Email: Dchurch@orangecountygov.com *Will accept electronic project proposals</p>	<p>OSWEGO, ONONDAGA, MADISON, CAYUGA</p> <p>David Bottar, Executive Director Central New York Regional Planning Board 126 N. Salina Street Syracuse, NY 13202-1050 Tel. (315)422-8276 Fax (315)422-9051 Email: mail@cnyrpd.org *Will <u>not</u> accept electronic project proposals</p>

<p>PUTNAM</p> <p>Waive right to review all proposed projects</p>	<p>ROCKLAND</p> <p>Ms. Arlene Miller Rockland County Department of Planning Robert Yeager Health Center, Building T 50 Sanatorium Road Pomona, NY 10970 Tel. (845) 364-3434 Fax (845) 364-3435 Email: Millera@co.rockland.ny.us *Will accept electronic project proposals</p>
<p>ST. LAWRENCE</p> <p>Waive right to review all proposed projects</p>	<p>SUFFOLK</p> <p>Waive right to review all proposed projects</p>
<p>SULLIVAN</p> <p>Waive right to review all proposed projects</p>	<p>ULSTER</p> <p>Mr. Dennis Doyle Ulster County Planning Board Box 1800 244 Fair St. Kingston, NY 12401 Tel. (845) 340-3339 Fax (845) 340-3429 Email: planning@co.ulster.ny.us</p>
<p>WESTCHESTER</p> <p>Mr. Edward Buroughs Commissioner of Planning Westchester County Department of Planning 148 Martine Avenue, Room 432 White Plains, NY 10601-4704 Tel. (914) 995-4402 Email: EEB6@westchestergov.com *Will accept electronic project proposals *Only reviewing proposals with a threshold of \$200,000.</p>	<p>HERKIMER, ONEIDA</p> <p>Waive right to review all proposed projects</p> <p>CLINTON, ESSEX, HAMILTON, WARREN, WASHINGTON</p> <p>Waive right to review all proposed projects</p>

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July 26, 2018

Ms. Jennifer Gregory, Director
Southern Tier East Planning Board
49 Court Street #222
Binghamton, NY 13901-3274

Dear Ms. Gregory:

Enclosed for your review and comment is the Federal Standard Form 424 "Application for Federal Assistance" as our request for intergovernmental review of the Federal Fiscal Year 2019 Clean Water State Revolving Fund (CWSRF) Capitalization Grant application to the USEPA. Award of the proposed Federal Grant will enable the Department of Environmental Conservation to continue to capitalize the New York Clean Water State Revolving Fund. We are notifying area-wide reviewing agencies of our intent to apply for Federal aid for this program.

The CWSRF provides interest-free or low-interest rate financing and grants to support a variety of eligible water quality improvement projects, including point source projects, nonpoint source projects and national estuary projects. More information about the types of projects that are eligible for CWSRF financing can be found in the Environmental Facilities Corporation's Intended Use Plan at: <http://www.efc.ny.gov/CWIUP>.


Please provide a response to this request by August 27, 2018. We have prepared a form to assist in your response that may be completed, signed and returned to Mr. Rudnell O'Neal at the address below. Please provide a copy of your response to Mr. Timothy P. Burns, P.E. at the address below.

Mr. Rudnell O'Neal, Branch Chief &
Grants Management Officer
USEPA Region 2
290 Broadway, 27th Floor
New York, New York 10007-1866

Mr. Timothy P. Burns, P.E.
Director, Engineering and Program Mgmt.
NYS Environmental Facilities Corporation
625 Broadway
Albany, NY 12207-2997

Should you have any questions, please contact Ms. Karen Rusin, P.E., at (518) 402-7396.

Sincerely,


Michael Giovannone
Principal Accountant

Enclosures: a/s

c: Mr. Timothy P. Burns, P.E. - NYSEFC



Department of
Environmental
Conservation

**New York State Clean Water State Revolving Fund
Intergovernmental Review Agency Response**

July 2018

This is in response to the intergovernmental review process regarding the 2019 Clean Water State Revolving Fund (CWSRF) Capitalization Grant application for the New York State to the USEPA.

- ☐ support the application
- ☐ support the application with attached comments
- ☐ comments attached

In addition please indicate if you wish to be contacted for future intergovernmental review of CWSRF Capitalization Grant application.

- ☐ We do NOT wish to be contacted for future intergovernmental reviews on this type of application in the future.
- ☐ YES, continue to include this clearinghouse in the intergovernmental review process.

(date)

Jennifer Gregory
Southern Tier East Planning Board